

Official #13

4/9/03

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**FACSIMILE TRANSMITTAL SHEET**

Deliver to: Examiner Dung Dinh  
Firm Name: USPTO  
Fax Number: 703-746-7240 Telephone No.: \_\_\_\_\_  
From: Sue Holloway  
Date: 4/9/03 Time: \_\_\_\_\_  
Operator: Cheri Matter: 09/867,505  
Number of pages including cover sheet: 40

Message: Examiner Dinh

Pursuant to our telephone conversation this morning, attached are the copies of the  
electronic IDS which was filed 1/21/03 and the preliminary amendment which was  
filed 1/17/03.

**CONFIDENTIALITY NOTE**

The documents accompanying this facsimile transmission contain information from the law firm of Blakely Sokoloff Taylor & Zafman that is confidential or privileged. The information is intended to be for the use of the individual or entity named on this transmission sheet. If you are not the intended recipient, be aware that any disclosure, copying, distribution, or use of the contents of this faxed information is prohibited. If you have received this facsimile in error, please notify us by telephone immediately so that we can arrange for the retrieval of the original documents at no cost to you.

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PLEASE CALL (408) 720-8598 AND ASK FOR THE OPERATOR NAMED ABOVE.**

**Acknowledgment Receipt****SUBMISSION TYPE:** Information Disclosure Statement**APPLICATION NUMBER:** 09867505**FIRST NAMED INVENTOR:** Donald Katz**TITLE OF INVENTION:** Apparatus and Method for Authoring and  
Maintaining a Library of Content and Targeting Content to a Playback  
Device**ATTORNEY DOCKET NUMBER:** 2541P001CD2**FILE LISTING:**

transmittal tran2541P001CD2.xml 5154 Bytes  
us-information-disclosure-statement 2541P001CD2ids.xml 8719 Bytes  
us-information-disclosure-statement US-IDS.DTD 11983 Bytes  
us-information-disclosure-statement E-IDSSTA.XSL 17508 Bytes

**EFS ID:** 22140**FILE SIZE:** 18310 Bytes**TIMESTAMP:** Tue Jan 21 20:18:18 EST 2003**MESSAGE DIGEST:** ULP0nBF51VP2yK14XGuzmg==**DIGITAL CERTIFICATE HOLDER NAME:** cn=William W. Schaal, ou=Registered Attorneys**UPLOAD STATUS:** You have successfully uploaded your submission to USPTO**ENTERED  
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# RECEIVED

JAN 28 2003

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
LOS ANGELES

Serial/Patent No.: 09/867,505 Filing/Issue Date: 5/29/01  
 Client: Audible, Inc.  
 Title: Apparatus and Method for Authorizing and Maintaining a Library of Content and Targeting Content to a Playback Device  
 BSTZ File No.: 02541.P001C02 Atty/Sec'y Initials: JHS/SSH/clc  
 Date Mailed: 1/17/03 Docket Due Date: \*\*\*\*

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

<input type="checkbox"/> Amendment/Response (____ pgs.)	<input type="checkbox"/> Express Mail No.: <u>XXXX</u> Check No. _____
<input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)	<input type="checkbox"/> _____ Month(s) Extension of Time Amt: <u>402.00</u>
<input type="checkbox"/> Application - Utility (____ pgs., with cover and abstract)	<input type="checkbox"/> Information Disclosure Statement & PTO-1449 (____ pgs.) <input type="checkbox"/> Check No. _____
<input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)	<input type="checkbox"/> Issue Fee Transmittal Amt: _____
<input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)	<input type="checkbox"/> Petition for Extension of Time
<input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)	<input type="checkbox"/> Petition for _____
<input type="checkbox"/> Application - Design (____ pgs.)	<input checked="" type="checkbox"/> Postcard
<input type="checkbox"/> Application - PCT (____ pgs.)	<input type="checkbox"/> Power of Attorney (____ pgs.)
<input type="checkbox"/> Application - Provisional (____ pgs.)	<input checked="" type="checkbox"/> Preliminary Amendment ( <u>28</u> pgs.)
<input type="checkbox"/> Assignment and Cover Sheet	<input type="checkbox"/> Reply Brief (____ pgs.)
<input checked="" type="checkbox"/> Certificate of Mailing	<input type="checkbox"/> Response to Notice of Missing Parts
<input type="checkbox"/> Declaration & POA (____ pgs.)	<input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business
<input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventor's Signed Letter (____ pgs.)	<input checked="" type="checkbox"/> Transmittal Letter, <u>XXXXXX</u> (2 pgs.)
<input type="checkbox"/> Drawings: _____ # of sheets includes _____ figures	<input checked="" type="checkbox"/> Fee Transmittal, in duplicate (2 pgs. each)
<input type="checkbox"/> Other: _____	

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55196

January 17, 2003

NEW FOUR HUNDRED TWO &amp; NO/100

DOLLARS 402.00

Director of the United States  
Patent & Trademark Office  
Washington, DC 20231-0001

⑈055196⑈ ⑆121137522⑆ 1890⑈67366⑈6⑈

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STATEMENT

Invoice: 01/17/2003 Amount: 402.00  
2541.P001CD2 - Audible  
JHS/SSH/clc  
Additional claims filing fee  
"Apparatus and Method for Authorizing and Maintaining a Library of Content and Targeting Content to a Playback Device"  
USSN: 09/867,505  
Filed: 5/29/01  
Inv.: Katz, et al.

55196

Official  
4/9/03

## FEE TRANSMITTAL FOR FY 2003

TOTAL AMOUNT OF PAYMENT (\$) 402.00

## Complete if Known:

Application No. 09/867,505  
 Filing Date 5/29/01  
 First Named Inventor Katz  
 Group Art Unit 2152  
 Examiner Name Not yet assigned  
 Attorney Docket No. 02541.P001CD2

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number \_\_\_\_\_  
 Deposit Account Name \_\_\_\_\_

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed: ☒ Check  
☐ Money Order  
☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility application filing fee	_____
1002	330	2002	165	Design application filing fee	_____
1003	520	2003	260	Plant filing fee	_____
1004	750	2004	375	Reissue filing fee	_____
1005	160	2005	80	Provisional application filing fee	_____
SUBTOTAL (1) \$					0

## 2. EXTRA CLAIM FEES

		Extra Claims		Fee from below	Fee Paid
Total Claims		- 20** =			
Independent Claims		- 3** =		X	=
Multiple Dependent				X	=

\*\*Or number previously paid, if greater; For Reissues, see below.

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ 0

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		

01/01/03

- 1 -

Received from &lt;408 720 1658&gt; at 4/9/03 2:36:40 PM [Eastern Daylight Time]

4/9/03

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1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1813	8,800	1813	8,800	Request for inter parties reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to Institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	For filing a submission after final rejection (see 37 CFR 1.129(a))	
1814	110	2814	55	Statutory Disclaimer	
1810	750	2810	375	For each additional invention to be examined (see 37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	
1505	300	1505	300	Publication fee for republication	
1803	130	1803	130	Request for voluntary publication or republication	
1808	130	1808	130	Processing fee under 37 CFR 1.17(l) (except provisionals)	
1454	1,300	1454	1,300	Acceptance of unintentionally delayed claim for priority	
Other fee (specify) Additional claims filing fee					402.00
Other fee (specify)					
				<b>SUBTOTAL (3)</b>	<b>\$ 402.00</b>

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: Sheryl Sue HollowaySignature: [Signature]Date: 4-17-2003Reg. Number: 37,850Telephone Number: 408-720-8300**FIRST CLASS CERTIFICATE OF MAILING**

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on January 17, 2003

Date of Deposit

Cheri Clippenbeard

Name of Person Mailing Correspondence

[Signature]

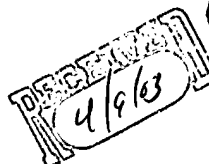
Signature

1/17/03

Date

01/01/03

- 2 -



Official

Attorney's Docket No.: 02541.P001CD2

Patent

In re the Application of: Katz, et al.

(inventor(s))

Application No.: 09/867,505

Filed: 5/29/01

For: Apparatus and Method for Authorizing and Maintaining a Library of Content and Targeting

Content to a Playback Device

(title)

ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

SIR: Transmitted herewith is an Amendment for the above application.

Small entity status of this application under 37 C.F.R. §§ 1.9 and 1.27 has been established by a verified statement previously submitted.  
A verified statement to establish small entity status under 37 C.F.R. §§ 1.9 and 1.27 is enclosed.  
No additional fee is required.

The fee has been calculated as shown below:

	(Col. 1) Claims Remaining After Amd.		(Col. 2) Highest No. Previously Paid For	(Col. 3) Present Extra
Total Claims	*106	Minus	**93	13
Indep. Claims	*10	Minus	***8	2
First Presentation of Multiple Dependent Claim(s)				

\* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.

\*\* If the "Highest No. Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

\*\*\* If the "Highest No. Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest No. Previously Paid For" (Total or Independent) is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.

SMALL ENTITY	
Rate	Additional Fee
X9	\$
X42	\$
+140	\$
Total Add. Fee	\$

OTHER THAN A SMALL ENTITY	
Rate	Additional Fee
X18	\$234.00
X84	\$168.00
+280	\$ 0
Total Add. Fee	\$402.00

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on January 17, 2003

Date of Deposit

Cheri Clinkenbeard

Name of Person Mailing Correspondence

*Cheri Clinkenbeard*

January 17, 2003

Signature


Date

- ☒ A check in the amount of \$402.00 is attached for presentation of additional claim(s).  
Applicant(s) hereby Petition(s) for an Extension of Time of \_\_\_\_\_ month(s) pursuant to  
37 C.F.R. § 1.136(a).  
A check for \$\_\_\_\_\_ is attached for processing fees under 37 C.F.R. § 1.17.  
Please charge my Deposit Account No. 02-2666 the amount of \$\_\_\_\_\_.  
**A duplicate copy of this sheet is enclosed.**  
☒ The Commissioner of Patents and Trademarks is hereby authorized to charge payment of the  
following fees associated with this communication or credit any overpayment to Deposit Account  
No. 02-2666 (a duplicate copy of this sheet is enclosed):  
☒ Any additional filing fees required under 37 C.F.R. § 1.16 for presentation of  
extra claims.  
☒ Any extension or petition fees under 37 C.F.R. § 1.17.

BLAKELY SOKOLOFF TAYLOR &amp; ZAFMAN LLP

Date: Apr. 17, 2003

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Sheryl Sue HollowayReg. No. 37,850